

NATIONAL SCIENCE FOUNDATION
4201 WILSON BOULEVARD
ARLINGTON, VA 22230

Dear Survey Respondent:

We are requesting your assistance in completing this year's Survey of Federal Funds for Research and Development (Federal funds survey) and the Survey of Federal Science and Engineering Support to Universities, Colleges and Nonprofit Institutions (Federal support survey). Prior to the Volume 48/FY 1998 survey cycle, the National Science Foundation implemented Federal funds and Federal support survey data collection systems available through the World Wide Web on the Internet. Attached to this letter you will find informational brochures that describe the Federal funds and Federal support surveys' Web data collection systems. You may submit your agency's data over the Web by going to the appropriate URL: the address for FEDWEB is <http://www.qrc.com/fedweb> and the address for FSSWEB is <http://www.qrc.com/fssweb>. Your FEDWEB user ID is «FFUserID» and the password is «FFPassword». Your FSSWEB user ID is «FSUserID» and the password is «FSPassword». We request that your agency's FSSWEB and FEDWEB submissions be submitted to NSF no later than **May 15, 2000**.

Background information and guidelines specific to each survey follow.

1. Federal Funds Survey

In addition to providing essential data for Congress and Executive Branch policy makers, data from this survey are used for four Federal research and development (R&D) programs:

Federal Laboratory Consortium for Technology Transfer (FLC). The congressionally chartered FLC, with its 600+ member Federal R&D laboratories and centers from 16 Federal departments and agencies, promotes technology transfer and provides industry and the public sector access to the vast reservoir of Federal laboratory technology and expertise. Based on legislation in 1986, 0.008 percent of R&D funding for intramural laboratories, centers, and Federally Funded Research and Development Centers (FFRDCs) is to be provided for the FLC by each department or agency.

Small Business Innovation Research (SBIR) Program. This program was legislated by Congress in 1982 to provide small businesses with opportunities to compete for Federal R&D awards. The percentage of each participating Federal agency's extramural R&D budget that is set aside specifically for SBIR was not less than 2.5 percent in FY 1997. Current legislation requires that Federal agencies with extramural R&D budgets in excess of \$100 million participate.

Small Business Technology Transfer (STTR) Program. This program was mandated by legislation in 1992. Under the STTR program, a portion of each Federal participating agency's extramural R&D budget is reserved for cooperative R&D conducted jointly by a small business and a research institution (including FFRDCs) in which not less than 40 percent of the work is performed by the small business and not less than 30 percent of the

work is performed by the research institution. Federal agencies with extramural research and development budgets of at least \$1 billion participate.

Experimental Program to Stimulate Competitive Research (EPSCoR). EPSCoR was established in 1979 to broaden the geographic distribution of research opportunities. In conjunction with State and industry leaders' efforts, EPSCoR assists States that have historically received little Federal R&D funding, and have demonstrated a commitment to develop their research bases and improve science and engineering research and education programs at their universities and colleges, to compete more successfully for such funding.

Please note that you will not receive hard copies of the *Instructions for Reporting Data to the Annual Survey of Federal Funds for Research and Development*. This document is included in FEDWEB's help documentation on the Web. This documentation provides definitions, data concepts, and reporting guidelines, as well as detailed instructions on how to use FEDWEB.

2. Federal Support Survey

The National Science Foundation Act of 1950, as amended, provides the mandate for this interagency reporting system. The academic sector produces most of the Nation's scientists and engineers and performs about one-half of all federally sponsored basic research. The characteristics and distribution of Federal academic and/or nonprofit funds are of interest to science and technology policy officials at all levels of government, to academic administrators, and to industry and nonprofit personnel. This survey is the only source of detailed data on Federal obligations to individual universities, colleges, and nonprofit organizations and therefore attracts a wide audience. Specific users include the *Chronicle of Higher Education* and EPSCoR (Experimental Program to Stimulate Competitive Research). EPSCoR was established in 1979 to broaden the geographic distribution of research opportunities. In conjunction with state and industry leaders' efforts, EPSCoR assists states that have historically received little Federal R&D funding, and have demonstrated a commitment to develop their research bases and improve science and engineering research and education programs at their universities and colleges, to compete more successfully for such funding.

Please note that you will not receive hard copies of the *Instructions and Specifications for Reporting to the Annual Survey of Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions*, or the *Code Book for Compatible Statistical Reporting of Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions*. These documents are available through FSSWEB.

Each year the number of nonprofit institutions receiving Federal support continues to grow; please pay particular attention to your agency's obligations to each of these institutions listed in the *Code Book*. Also, please report any nonprofit institution that received R&D and/or R&D plant obligations from your agency, **regardless of amount**, even if it is not listed in the *Code Book*. See the Web system's help documentation for reporting obligations to institutions not listed in the *Code Book*.

Also refer to FSSWEB's help documentation to review a list of the most frequently encountered problems identified in recent agency submissions. Your attention to these items will help reduce the editing time, resulting in earlier release of the data.

Further Guidance

Please call Keri Leibensperger of QRC at (301) 657-3077, ext. 179, if you are unable to provide your responses on FEDWEB and FSSWEB. You may also call Ms. Leibensperger, or Rosemary Penna at (301) 657-3077, ext. 322, if you need additional help. Ms. Leibensperger and Ms. Penna can also be reached through the Internet at lkeri@qrc.com or rpenna@qrc.com.

Cost and person-hour estimates are included in the General Services Administration clearance requests for these surveys. It would be very helpful if your agency could furnish NSF with an estimate of the operational costs incurred and the person-hours expended in the preparation of your annual submissions. Please furnish these estimates on FEDWEB and FSSWEB once you have submitted your data to NSF.

We greatly appreciate your assistance in our ongoing survey activities and we look forward to your continued cooperation and support in this year's data collection effort. If you have any questions regarding the reporting requirements, please do not hesitate to contact us at (703) 306-1772 ext. 6937 or 6938 or through the Internet at rmeeks@nsf.gov or rbenno@nsf.gov.

Sincerely,



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Richard Benno
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Enclosures